

Federal-aid SWAP

And other updates from Local Systems

https://iowadot.gov/local_systems/local-systems-home

Presentation



New Secondary
Roads Engineer
Eric Cowles, P.E.



New Management Analyst III

Mary Beth Sprouse

- Street Finance Report
- County Annual Report
- County Budgets/Programs
- Inactives/PED's
- Monthly DOT County Reporting

Contract Administration and Doc Express Training

Location	Week of:
Ames	March 5, 2018
Atlantic	March 12, 2018
Sioux City	March 19, 2018
Mason City	March 26, 2018
Fairfield	April 2, 2018
Cedar Rapids	April 16, 2018

SOLD OUT

Level 1 Training (No Charge) – Available on-line now at:

<https://learning.iowadot.gov/>

Search for:

Contract Administration Level 1



Level 2 Training – 2 days beginning on Monday

Doc Express Training – ½ day on Wednesday

Level 3 Training – 1 ½ days on Thursday and Friday morning



Contract Administration and Doc Express Training

- Level 2 Training (\$240 class & test; \$40 test only)
 - <https://iowadot.gov/training/ttcp/RegBook/CABasic.pdf>
- Doc Express Training (No Charge)
 - <https://iowadot.gov/training/ttcp/RegBook/DocEx.pdf>
- Level 3 Training – (\$180 class & test; \$40 test only)
 - <https://iowadot.gov/training/ttcp/RegBook/CAAdvanced.pdf>
- March 30, 2018, in Boone (only testing date open).
- Testing also available in Ames when pre-scheduled for \$120/exam.

Contract Administration and Doc Express Training

- If you have completed the following classes in 2013 or later you may take the exam without attending the class:
 - Contract Administration – Basic
 - Contract Administration – Advanced
 - E-mail: DOT.TTCP@IowaDOT.us
- Certified inspection will be required on all Construction contracts let through the DOT; inspected by non-LPA staff starting with the 2020 construction season.

Contract Administration and Doc Express Training



- Doc Express will be REQUIRED for all DOT let projects.
 - Beginning in:
 - January for County projects.
 - July for City projects.
 - Includes SWAP Projects.
 - Optional, but encouraged for Local Public Agency (LPA) inspected project.
- Digital Signatures on Contracts are being developed but the process is currently under legal review.

Federal-aid Swap Overview



- Iowa Transportation Commission approved February 13, 2018
- Same amount of dollars are still subject to Federal requirements.
 - These projects will be administered mostly by the Iowa DOT.
- Federal funds normally received by a LPA are exchanged for State funds.
- Projects are let at the Iowa DOT.
- Funds will only be used for Construction projects.
- \$1 for \$1 exchange rate.
- Pre-Determined (Davis-Bacon) Wage Rates and Buy America will not apply.
- Swap Funds available dependent on Federal funding levels and DOT cash flow.

Federal-aid Swap Efficiencies

- Items no longer needed:
 - DBE Commitment – can have if desired though
 - Davis-Bacon wages – Certified Payrolls
 - Buy America
 - NEPA through FHWA (however, some environmental requirements remain)
- Programming efficiencies
- Environmental Process efficiencies
- Project Development has been streamlined
- Construction Oversight efficiencies
- No Project End Dates or In-Active Obligations

Swapped Programs



Surface Transportation Block Grant (STBG)

- Funds allocated through RPAs and MPOs.
- Balance of ~\$150 M will be paid back over ~4 years.
 - This is approximate – will depend on DOT cash flow.
- Eligible Routes:
 - All Federal-aid eligible routes, including Rural Minor Collectors.
 - All Farm-to-Market System Routes
- Not allowed on Local Roads.
- Bridges on any road.
- Eligible for 100% reimbursement, subject to MPO and RPA match requirements.
- Eligible for Preliminary Engineering (PE) and Construction Engineering (CE), subject to MPO and RPA requirements and approval. Although eligible, PE and CE are not encouraged.

County Highway Bridge Program (HBP)

- 100% funding – no match required.
- Programming through RPA's is not necessary – projects will be extracted from CFYP and put into a "Swap project list" or the TIP/STIP, no amendments necessary.
- Current requirements - SD or FO, SR 80 or less, 25 or more ADT.
- Borrow ahead requirements will remain the same.
- No more HBP bridge inspections, per ICEA policy.
- Currently working out details between ICEA and DOT regarding PE and CE, and to what extent it will be allowed.



City Bridge Program

- 80% Funding
- 20% Local Match is Required
- Only Construction costs are eligible for reimbursement
 - However; project development costs, Engineering, Inspection, Right-of-Way, utility relocation, and railroad costs, are eligible for a credit towards the 20% local match required for Construction.
- Priority Points and other program guidance remains the same as detailed in our Instructional Memorandum (I.M.) 2.020.



Highway Safety Improvement Program – Secondary (HSIP-S)

- \$2M in this fund
- Continue the program per program guidance
- Program guidance is being reviewed to meet the needs and intent of the program with swapped funding.



Some programs will not be Swapped

- Transportation Alternatives
- Federal Recreational Trails

Why?

- Amendment #18 (1942), Article VII, Section 8, Constitution of Iowa:
 - Motor vehicle fees and fuel taxes. SEC. 8. All motor vehicle registration fees and all licenses and excise taxes on motor vehicle fuel, except cost of administration, shall be used exclusively for the construction, maintenance and supervision of the public highways exclusively within the state or for the payment of bonds issued or to be issued for the construction of such public highways and the payment of interest on such bonds.

Federalization



What Federalizes a Project

- Once a project is Federalized it must continue to follow all Federal regulations.
- Any FHWA Authorization
 - Preliminary Engineering, Right-of-Way, Construction Engineering, Construction
- Any National Environmental Policy Act (NEPA) clearance beyond a Programmatic Categorical Exclusion (PCE).
 - A PCE is the most common type of NEPA Clearance.
 - An analysis has been run in the Transportation Program Management System (TPMS) Development to determine if a project has been Federalized based on NEPA clearance.

What **MAY** Federalize a Project

- Planning Studies that Utilize Federal-aid.
 - NEPA Clearances and Preferred Alternatives may cause the project to be Federalized.
- Interchange Justification Report (IJR)
- For both cases contact your:
 - MPO or RPA
 - DOT Administering Office (System Planning, District, etc.)
- If your project has had any other Federal Action by FHWA or extensive involvement by FHWA, contact Local Systems in Ames.

What Does Not Federalize a Project

- Only programming a Project in the Statewide Transportation Improvement Program (STIP) through your MPO or RPA.
- Signing a Federal-aid Project Funding agreement – swap funding agreements are forthcoming.
- Submitting a Concept Statement without having received FHWA Environmental Concurrence.
 - If your agency desires to stop a NEPA review in progress please e-mail DeeAnn Newell to determine if that is possible.
 - DeeAnn.Newell@IowaDOT.us

Project Numbering

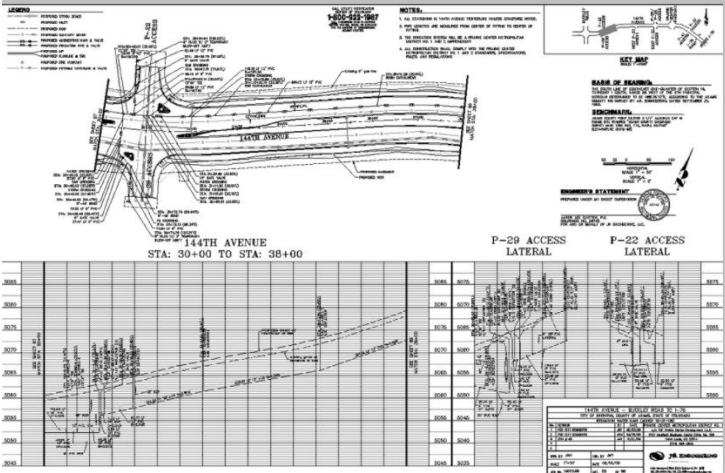


System Prefix Letter Code			Alpha-Numeric System Prefix		
Federal-aid Prefix	Description	SWAP Prefix	Federal-aid Alpha-Numeric System Prefixes	On FM System On Contractor Pay System (Range 3) Cost Center 8010	Non-FM System Non-Contractor Pay System (Range 5) Cost Center XXXX
BHM	On System, non-FM Account Bridge Rehabilitation	BHM-SWAP	8K	--	SA
BHOS	Off System Bridge Rehabilitation	BHOS-SWAP	5N, 89	FB	SB
BHS	On System, Farm-to-Market Bridge Rehabilitation	BHS-SWAP	63	FC	--
BRM	On System, non-FM Account Bridge Replacement	BRM-SWAP	8N	--	SD
BROS	Off System Bridge Replacement	BROS-SWAP	5F, 8J	FE	SE
BRS	On System, Farm-to-Market Bridge Replacement	BRS-SWAP	60	FF	--

System Prefix Letter Code			Alpha-Numeric System Prefix		
Federal-aid Prefix	Description	SWAP Prefix	Federal-aid Alpha-Numeric System Prefixes	On FM System On Contractor Pay System (Range 3) Cost Center 8010	Non-FM System Non-Contractor Pay System (Range 5) Cost Center XXXX
STP-U	Urban System Project	STBG-SWAP	27, 2C, 5E, 5P, 70	FG	SG
STP-S	Secondary System Project				
STP-A	Iowa Clean Air Attainment Program	ICAAP-SWAP	0A, 22, 5E, 5M, 86	FH	SH
HSIP	Highway Safety Improvement Program	HSIP-SWAP	2H, 3L, 8X	FJ	SJ

Project Development

TPMS Development View: District 1 Letting -> Sponsor -> PN Show Descriptions Reset View Instructions Logout										Screen D		
Programming					Logged in as Eric Cowles with DOT Local Systems					Download to Excel		
										Railroad Report		
Sponsor (Type/ID)	Let At:	Let Date:	Project Number: <small>Click PN to view Status Click PN to see Map Find by PN text:</small>	TPMS: STA & Struct ID: <small>Click to Setup</small>	OK with Appr. CFYP	OK with Appr. STIP	In PSS:	PSS Status:	Development Progress: <small>CSPPCPFPICDCTI</small>	DocXpress	Dev Est.	
All	All	All	All	Go	All	All	All	All				
Des Moines (City)	DOT	20-Feb-2018	STP-U-1945(839)-70-77	26372	NA	✓	✓	Active	✓✓✓✓✓✓✓	✓	14,000,000	
Gilman (City)	DOT	20-Feb-2018	STP-U-2920(602)-70-64	26410	NA	✓	✓	Active	✓✓✓✓✓✓✓	✓	125,000	
Hamilton (CRD)	DOT	20-Feb-2018	BROS-C040(88)-5F-40	22229 171920	✓	✓	✓	Active	✓✓✓✓✓✓✓	✓	2,500,000	
Hamilton (CRD)	DOT	20-Feb-2018	FM-C040(94)-5S-40	2508	✓	NA	✓	Active	NA NA ✓✓✓✓✓	✓	900,000	
Story (CRD)	DOT	20-Feb-2018	FM-C085(147)-5S-85	26943 315720 DBL	✓	NA	✓	Active	NA NA ✓✓✓✓✓	✓	200,000	
Urbandale (City)	DOT	20-Feb-2018	STP-U-7875(650)-70-77	26871	NA	✓	✓	Active	✓✓✓✓✓✓✓	✓	2,000,000	
West Des Moines (City)	Local	05-Mar-2018	CS-TSF-8260(644)-85-77	26988	NA	NA		Active	NA NA NA ✓ NA NA		0	
West Des Moines (City)	Local	12-Mar-2018	CS-TSF-8260(642)-85-77	26929	NA	NA		Active	NA NA ✓ NA NA		69,000	
West Des Moines (City)	Local	13-Mar-2018	CS-TSF-8260(639)-85-77	24143	NA	NA	NA	Non-PSS	NA NA ✓ NA		27,060	
Grundy (CRD)	Local	19-Mar-2018	FM-C038(110)-5S-38	24835	✓	NA		Active	NA NA ✓ NA	✓	105,000	
Ames (City)	DOT	20-Mar-2018	STP-U-0155(696)-70-85	26644	NA	✓	✓	Active	✓✓✓✓✓✓✓		1,480,000	
Boone (City)	DOT	20-Mar-2018	STP-U-0750(634)-70-08	26685	NA	✓	✓	Active	✓✓✓✓✓✓✓		540,000	
Grimes (City)	DOT	20-Mar-2018	STP-U-3125(616)-70-77	22668	NA	✓	✓	Active	✓✓✓✓✓✓✓		3,500,000	
Polk (CRD)	DOT	20-Mar-2018	STP-S-C077(217)-5E-77	24149		✓	✓	Active	✓✓✓✓✓✓✓	✓	7,900,000	
Story (CRD)	DOT	20-Mar-2018	FM-C085(146)-5S-85	24852		✓	NA	Active	NA NA ✓✓✓✓✓	✓	800,000	
Ankeny (City)	Local	10-Apr-2018	CS-TSF-0187(635)-85-77	26989	NA	NA	NA	Non-PSS	NA NA ✓ NA	✓	629,000	
Boone (CRD)	DOT	17-Apr-2018	BROS-C008(71)-5F-08	21054 78150 DBL	✓	✓	✓	Active	✓✓✓✓✓✓✓	✓	506,742	
Greene (CRD)	DOT	17-Apr-2018	FM-C037(75)-5S-37	26308 163100	✓	NA	✓	Active	NA NA ✓✓✓✓✓	✓	452,000	
Marshall (CRD)	DOT	17-Apr-2018	FM-C064(127)-5S-64	22920		✓	NA	Active	NA NA ✓✓✓✓✓	✓	2,800,000	
Nevada (City)	DOT	17-Apr-2018	STP-U-5405(611)-70-85	26962	NA	✓	✓	Active	✓✓✓✓✓✓✓		1,400,000	
Story (CRD)	DOT	17-Apr-2018	BROS-C083(144)-81-85	24793 314720 DBL	✓	✓	✓	Active	✓✓✓✓✓✓✓	✓	500,000	
Webster (CRD)	DOT	17-Apr-2018	SRM-2130(602)-8F-94	2457 342340 DBL	✓	NA	✓	Active	NA NA ✓✓✓✓✓	✓	400,000	
Fort Dodge (City)	DOT	15-May-2018	BRM-2690(628)-8N-94	22929 500160 DBL	NA	✓	✓	Active	✓✓✓✓✓✓✓		1,250,000	
Grundy (CRD)	DOT	15-May-2018	BROS-C038(108)-5F-38	13683 163670 DBL	✓	✓	✓	Active	✓✓✓✓✓✓✓	✓	700,000	



Chapter 3 – Project Development

Section 3.0 -- General

3.002*	Federal-aid Project Scheduling	February 16, 2007	Both
3.005*	Project Development Submittal Dates and Information	February 13, 2018	Both
	Attachment A - Submittal Dates for Non-Federal-aid Local Public Agency projects let by the Iowa DOT	February 13, 2018	Both
	Attachment B - Submittal Dates for Federal-aid Local Public Agency projects and projects involving the Primary Highway System	February 13, 2018	Both
3.007*	Concept Statement Instructions (see Packet, Index No. 6, Concept Statement Instructions)	(future)	Both
	Attachment A – Example Concept Statement	(future)	Both
3.030	Project Development Outline -- Local Funding (L)	February 2002	Both
3.050*	In-Kind Contributions	August 10, 2011	Both
3.060	Project Numbers	December 2002	Both

Section 3.1 -- Environmental Reviews and Permits

3.100*	NEPA Class of Action Process (see Packet, Index No. 6, NEPA Project Classification Process)	(future)	Both
	Attachment A - Environmental Concurrence Process Overview (see Packet, Flowcharts, Chart No. 6 – Environmental Process Overview)	(future)	Both
	Attachment B - Environmental Assessment / FONSI Process (see Packet, Flowcharts, Chart No. 6A – Environmental Assessment / FONSI Process)	(future)	Both
	Attachment C - Environmental Impact Statement / ROD Process (see Packet, Flowcharts, Chart No. 6B – Environmental Impact Statement / ROD Process)	(future)	Both

Project Development for Swap Projects

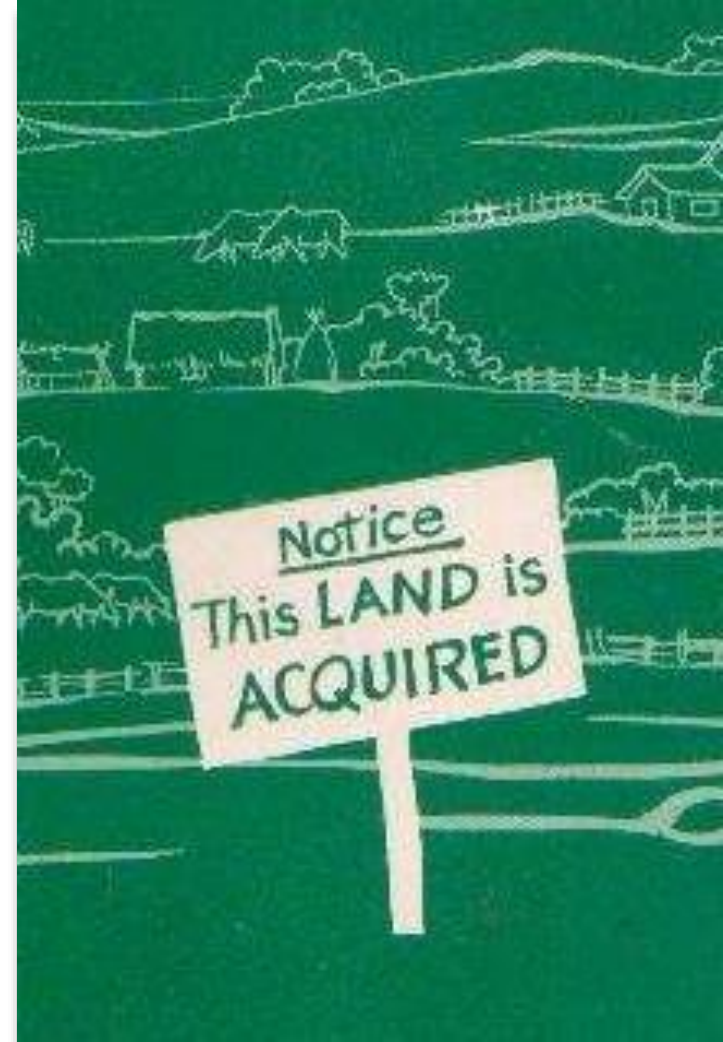
FIRST LETTING FOR SWAP PROJECTS IS OCTOBER 16, 2018.

1. Program Project:
 - Counties use their County Five Year Plan (CFYP).
 - Cities put their project into their MPO or RPA's Transportation Improvement Plan (TIP) or a Swap Projects List.
2. Activate in TPMS Development
3. Many I.M.s Updated February 13, 2018 (more to come)
4. Obtain Environmental Clearances.
 - Follow I.M.s in Section 3.1
5. Develop plans.
6. Submit Check Plans (first submittal to Iowa DOT)
 - Follow I.M. 3.005 and I.M. 3.505.
 - Bridge plans also use I.M. 3.510.

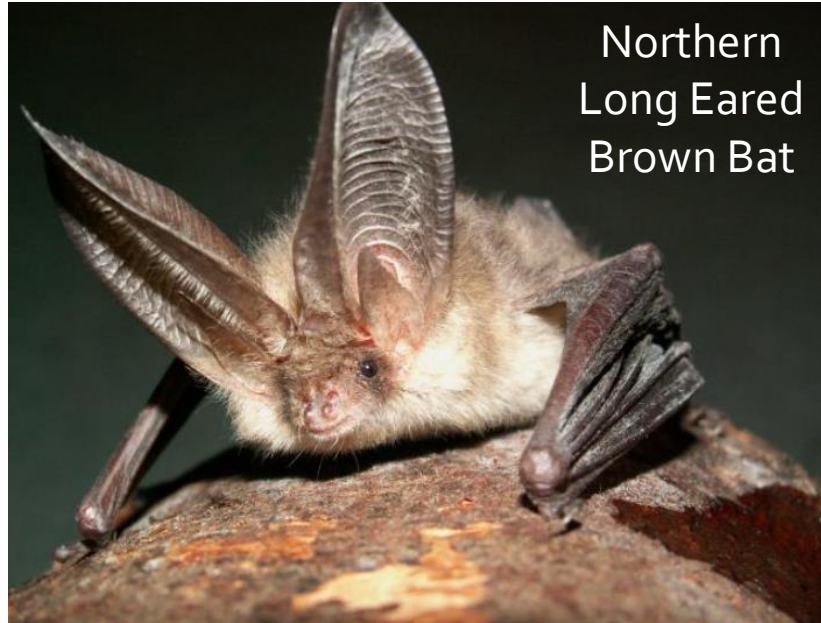
Time Saved estimated at 6 months (no Concept Statement or Preliminary Plans)

Project Development

- Design Requirements – previously adopted by ICEA Exec Board, or cities using SUDAS
- Hydraulic Review
 - Required on Federal-aid projects where bridge is being replaced by RCB
 - Not required on swap, but a service LPA may request from Iowa DOT
- Structural Review – only Federal requirement
- Right-of-Way – Iowa Code 6A and 316, 761 IAC 111
- Utilities – 761 IAC 115
- Railroads – still need coordination



Swap Environmental Process



Northern
Long Eared
Brown Bat



Higgins Eye Mussel



Mead's Milkweed



Topeka Shiner

Swap Environmental Process

- Numerous Federal and State Laws apply to any project.
- The Iowa DOT and Local Public Agencies worked with several Environmental and Cultural Resources Stakeholders to address their concerns about the Federal-aid Swap.
- LPAs are required to certify that all environmental and cultural resources processes have been followed.
 - I.M.s have been updated to assist with this.

I.M. 3.111 Threatened and Endangered Species

- Iowa DOT consults with the U.S. Fish and Wildlife Service (USFWS) on behalf of LPAs on Federal-aid projects through Section 7 of the Endangered Species Act.
- LPAs must follow Section 10 of the Endangered Species Act and if necessary, consult directly with USFWS on Swap and Locally Funded projects.
- Use Iowa DOT Form 706005, "Determination of Effect for Threatened and Endangered Species for Local Public Agencies (DOE)."
 - No Effect
 - No Consultation with USFWS
 - May Affect – Not Likely to Adversely Affect
 - USFWS Consultation is required
 - If a US Army Corp of Engineer Permit is required, the Corps will consult on the LPA behalf.
 - May Affect – Likely to Adversely Affect
 - USFWS Consultation is required

I.M. 3.114 Cultural Resources

- Iowa DOT is charged with “taking action” to ensure historical objects are not destroyed.
- Cultural Resources Assessment (CRA) form – NEW
 - For projects not involving ground disturbance.
 - Designed to document a review of historic bridges, districts, structures, sites, etc.
- Desktop Review
 - For projects involving ground disturbance.
 - Work with a US Secretary of Interior (SOI) Qualified Person.
 - Similar to working with the University of Iowa’s I-sites website and the Office of the State Archaeologist.
 - May result in a recommendation for a Phase 1 review.
 - The LPA would then work with the Office of Location and Environment

I.M. 3.130 404 Permits

- US Army Corps of Engineers (USACE) Changes (not Swap related)
- For projects using a Nationwide Permit without an impact to a Special Aquatic Site (wetland, riffle-pool complexes, etc.) and places with less than 0.1 acres of fill into a Water of the U.S.
 - No Pre-Construction Notice (PCN) is required.
 - Wetland Delineation is still required to utilize a Nationwide Permit.
- If a PCN is required:
 - A Wetland Delineation is strongly recommended to expedite review.
 - Submit the Determination of Effect Form (Form 760005) with the PCN.
 - Submit any documentation found as part of a Cultural Resources Review.

Letting and awarding contracts

- Iowa DOT Lettings
 - Federal-aid (TAP, etc)
 - Farm-to-Market
 - Swap projects
- State (not swap, but other state funds) or Local Funding:
 - Local lettings if desired
 - Can let at Iowa DOT if desired



Materials Requirements

- Project Engineer will follow all materials inspection requirements per DOT specifications, particularly Materials IM 204.
- Swap project as Category 4 in Materials IM 103
- Independent assurance samples will not be required
 - Side by side air tests, etc.
- DOT will still provide Materials Inspection Report (project specific)
- Agencies can still request sampling and testing, but will be charged per Materials I.M. 103 Appendix A
- Higher risk items currently inspected by Materials on federal aid project would **NOT** need to be requested for Swap, FM, Local:
 - Bridge beams, concrete piling
 - Precast box culverts
 - Cons span bridges
- More details will continue to be developed.

Construction & Project Close-out

- Project inspection still required.
- Field Inspection by DOT at Field Completion stage or during construction (DOT discretion)?
 - TBD
- Project Closeout
 - Pre-audit Checklist – certain items no longer required
 - Final Forms Packet Checklist – certain items no longer required
- Possible random project reviews?
 - TBD
- LPA retain 3% from contractor, DOT may withhold up to 5% reimbursement (same as now)

Project Reimbursement

- Reimbursement
 - Farm-to-Market (FM) Projects
 - Continued to be paid through Contractor Pay
 - Reimbursement to FM Account
 - Non-Farm-to-Market Projects
 - LPA makes initial payment.
 - LPA requests periodic reimbursements.
 - Final request is made after Contractor's retainage is paid.



I.M. Renumbering



I.M. Renumbering

- Instructional Memorandums have always had Chapters.
 - Chapters will now be better utilized similar to project progression.
 - A new column will be added to the Table of Contents to highlight its applicability to Federal or State funded projects.

I.M. Renumbering Table of Contents

- Chapter 1 – Administration
- Chapter 2 – County Secondary Road System
- Chapter 3 – Project Development
- Chapter 4 – Environmental
- Chapter 5 – Letting and Contracts
- Chapter 6 – Construction
- Chapter 7 – Maintenance
- Chapter 8 – Miscellaneous Information

Storm Water Pollution Prevention Plan (SWPPP) Update



Water Pollution Control Manager

- Beginning with the October 16, 2018 Letting
 - Prime Contractor is required to have a Trained or Certified Water Pollution Control Manager (WPCM).
 - WPCM will:
 - Have authority to supervise all work involving stormwater compliance
 - Have authority to order Prime and Sub-Contractors to complete appropriate corrective action.
 - Be familiar with project SWPPP.
 - Be responsible to review and sign inspector reports or delegate review and signing to another properly trained or certified individual of the Prime.
 - Visit and inspect the project no less than once per week during Construction.
 - If the Prime is not onsite, they may delegate this to the Sub-Contractor.

NPDES Permit Updates

- General Permit #2
 - Starts March 1, 2018
 - 0-14 Day Rule
 - Stabilization of disturbed areas must be initiated immediately if earth disturbing activities have:
 - Permanently ceased
 - Temporarily ceased and will not resume for more than 14 days.
- New PPP for Local projects
 - Slightly different than DOT projects
 - Does not tie Local Projects to DOT & EPA agreement
- General Permit #9
 - Proposed New Permit
 - Authorization of Construction excavation dewatering discharge to surface water or ground surface.
 - Includes monitoring and documentation requirements.
 - Review and provide comments here:
 - <http://www.iowadnr.gov/Environmental-Protection/Water-Quality/NPDES-Wastewater-Permitting/NPDES-General-Permits/GP9-Dewatering>

Questions

